Eddie Baza Calvo Governor of Guam

Lieutenant Governor

Ray Tenorio



N PLANU SIHA YAN EMFOTMASION Government of Guam P.O. Box 2950 Hagatña, Guam 96932

> Tel: (671) 472-4201/3 Fax: (671) 477-1812



patna, Guam 96932 Manuel Q. Cruz 172-4201/3 Deputy Director

Memorandum

JUN 3 0 2017

To:

Administrator, Guam State Clearinghouse

From:

Director, Bureau of Statistics and Plans

Subject:

FY 2017 Residential Substance Abuse Treatment for State Prisoners (RSAT)

**Program Grant Application** 

Hafa Adai! Submitted herewith is Guam's Fiscal Year 2017 Residential Substance Abuse Treatment (RSAT) for State Prisoners Grant application for Guam State Clearinghouse review. The CFDA number, Grant Posting/Grant Opening Date, Grant Submission Date, and Grant Program Summary are as follows:

CFDA: 16.593

Grant Posting/Grant Opening Date: June 1, 2017

Grant Submission Date: July 5, 2017

Brief Summary: The FY 2017 Residential Substance Abuse Treatment grant funds' focus will continue to be the provision of residential "in-house" substance abuse treatment for the Department of Corrections' inmates who have been identified as being in need and who have six to twelve months remaining on their sentences. In addition, the program provides the coordination of aftercare treatment services for those within the program who will be completing their sentences and re-entering the community.

Please note that the Bureau of Justice Assistance (BJA), U.S. Department of Justice has not yet received an approved FY 2017 budget from Congress. BJA has instructed that we submit our RSAT applications based on last year's plan no later than July 5, 2017. The request is being made in an effort to expedite the award process once the allocation amounts are determined. The dollar amount for these applications should be set at one dollar (\$1).

Once the FY 17 allocation amounts are available, RSAT State Administering Agency's will be notified, and the applications will be sent back to the GMS for revisions. In this application, the Bureau has prepared a draft budget. Additionally, the indirect charges have not been identified in the grant proposal as no staff will be funded with the administrative funds allocation.

Under the grant announcement, applicants must identify the source of the 25% non-federal match portion of the total project costs. Pursuant to 48 U.S.C. §1469a, the Bureau of Statistics and Plans, is requesting the waiver of match requirement for the FY 2017 Residential Substance Abuse Treatment (RSAT) for State Prisoners Grant Program. The waiver provisions state that, "any department or agency shall waive any requirement for local matching funds under \$200,000 (including in-kind contributions) required by law".

The funding under this grant opportunity will help to establish strong recovery support systems for clients that results in reducing risks for relapse and recidivism. The anticipated primary outcome is for ex-offenders to maintain a healthy lifestyle and become productive and contributing members in the community.

Your kind consideration is greatly appreciated. Should you require clarification or additional information, please do not hesitate to contact myself or Ms. Millie Erguiza at (671) 472-42012/2/3. Si Yu'os Ma'ase'.

MANUEL Q. CRUZ

Acting

Attachments



# **GUAM STATE CLEARINGHOUSE**

P.O. Box 2950 Hagåtna, Guam 96932

**Tel:** (671) 475-9380

Website: www.guamclearinghouse.com Email: clearinghouse@guam.gov EDWARD J.B. CALVO I Maga'låhen Guahan

RAYMOND S. TENORIO

I Segundu Na Maga'låhen Guahan

# Grant Project Application Notice of Intent to Apply for Federal Assistance

GSC FORM REVISED 03/21/2012 Guam State Clearinghouse Use Only Date Received: Received By: SAI Number: Type of Application | ▼ New Grant\* Continuing Grant\*\* A.) DUNS Number | 778904292 B.) Date C.) Applicant/Department Name Bureau of Statistics and Plans D.) Division Socio Economic Planning Program E.) Applicant Address 513 West Marine Corps Drive, Hagatna, Guam 96910 F.) Applicant/Department Point of Contact Information Contact Person Name Mr. Manuel Q. Cruz Phone Number 671472-4201/2/3 E-mail Address | manny.cruz@bsp.guam.gov H.) Federal Funds G.) Due Date to Federal Agency July 5, 2017 \$1.00 a.) Grant I.) Non-Federal, Matchning Funds b.) Other \$0.00 a.) Local \$0.00 b.) In-Kind \$0.00 J.) TOTAL FUNDS c.) Other \$0.00 K.) CFDA/Federal Program Name 16.593/Residential Substance Abuse Treatment for State Prisoners Program L.) Federal Agency Name Bureau of Justice Assistance, Office of Justice Programs M.) Federal Agency Address 810 Seventh Street, NW Washington, DC 20531

a.) Initial Grant Period	N/A	e the following information:	
	, <sub> </sub>		
b.) Guam State Clearing	house SAI Number N	/A	22
c.) Grant Year This Appl	ication Impacts N	/A	
O.) Has the Federal Funding Agen	cy been notified?	YES NO	
P.) During which Fiscal Year will th	nis program be impleme	ented? Estimated FY 2018	
Q.) If the project requires local fun	ding in addition to the f	federal funding requested, please specifically id	lentify source and rationale
N/A			
R.) This program is:	udgeted - Please iden	ntify legal budget authority	
▼ Non	- Budgeted		
new) and justification	ring of additional emplo	oyees? Is YES, please provide the number of em	ployees (both existing and
and supervision with daily ne	eds of clients, Program ent plan is adhered. The sthat would be affected	ng their care. The Psychiatric Technician II will place facilitators, Psychiatric Technician I and to ensure Chemical Dependency Treatment Specialist II  Department of Corrections, Department of A Budget and Management Research, Bureau Behavioral Health and Wellness Center, Judi General's Office	Administration, Bureau of of Statistics and Plans, Guar
		- A	
U.) Please provide a Project Summ documents if needed.	ary with supporting	Please see attachment	
(.) Please answer the following:	a.) Does this applicat	tion require an Environmental Impact Study?	☐ YES 🔀 NO
	b.) Will this application	on conflict with any existing law?	YES X NO
	c.) Is enabling legisla		YES X NO
	d.) Will the program	require a maintenance of effort?	X YES NO
		es allowed for this program?	X YES NO
	f.) Does this program	n allow an indirect cost rate to be applied?	☐ YES ☒ NO
JBMITTED AND APPROVED BY:			
Printed Name, Position/Title of Aut	thorized Representative	Manuel Q. Cruz, Deputy Director, Bureau of St	tatistics and Plans
CAMPURE	>		
GNATURE		Date	6130117

Date 6/30/17

Application for Federal Assistance SF-424 Version 02				
* 1. Type of Submission:  Preapplication  Application  Changed/Corrected Application	* 2. Type of Application:  New Continuation Revision	* If Revision, select appropriate letter(s):  * Other (Specify)		
* 3. Date Received:	4. Applicant Identifier:			
5a. Federal Entity Identifier:		* 5b. Federal Award Identifier:		
State Use Only:				
6. Date Received by State:	7. State Application	ion Identifier:		
8. APPLICANT INFORMATION:				
*a. Legal Name: Guam Bureau	of Statistiistics and Plans			
* b. Employer/Taxpayer Identification	Number (EIN/TIN):	* c. Organizational DUNS:		
980018947		778904292		
d. Address:				
Street1: 513 West Ma Street2: Hagatna County:	arine Corps Drive			
* State: Guam Province: Country: 2ip / Postal Code: 96910				
e. Organizational Unit:				
Department Name: Bureau of Statistics and Plans		Division Name:  Socio-Economic Planning Program		
f. Name and contact information of person to be contacted on matters involving this application:				
Prefix: Mr. Middle Name: Q. * Last Name: Cruz Suffix:	* First Nar	me: Manuel		
Title: Deputy Director				
Organizational Affiliation: Bureau of Statistics and Plans				
* Telephone Number: 671-472-4201/2/3 Fax Number: 671-477-1812				
* Email: manny.cruz@bsp.gua	m.gov			

Application for Federal Assistance SF-424	Version 02
9. Type of Applicant 1: Select Applicant Type:	
State	
Type of Applicant 2: Select Applicant Type:	
Type of Applicant 3: Select Applicant Type:	
* Other (specify):	
* 10. Name of Federal Agency:	
Office of Justice Programs	
11. Catalog of Federal Domestic Assistance Number:	
16.593	
CFDA Title:	
Residential Substance Abuse Treatment for State Prisoners (RSAT) Grant Program	
* 12. Funding Opportunity Number:	
2017-H1491-GU-RT	
* Title:	
BJA FY 17 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program	
13. Competition Identification Number:	
NA	
Title:	
NA	
14. Areas Affected by Project (Cities, Counties, States, etc.):	
State	
* 15. Descriptive Title of Applicant's Project:	
FY 17 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program	

Application fo	or Federal Assistance SF-424 Version	n 02		
16. Congressional Districts Of:				
* a. Applicant	Guarn * b. Program/Project			
Attach an addition	al list of Program/Project Congressional Districts if needed.			
17. Proposed Pro	ject:			
* a. Start Date:	10/01/2017 * b. End Date: 09/30/2020			
18. Estimated Fu	nding (\$):			
* a. Federal		MIL		
* b. Applicant				
* c. State				
* d. Local	\$1			
* e. Other				
* f. Program Incon				
*g TOTAL				
a. This applicat	ion was made available to the State under the Executive Order 12372 Process for review on ubject to E.O. 12372 but has not been selected by the State for review.			
* 20. Is the Applic	ant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)	-		
	⊠ No			
herein are true, c comply with any may subject me t	is application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims or criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)  cations and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency s.	100		
Authorized Representative:				
Prefix: M	* First Name: Manuel			
Middle Name: Q				
	uz	_		
Suffix:				
* Title: Deputy Director				
* Telephone Number: 671-472-4201/2/3 Fax Number: 671-477-1812				
* Email: manny.cruz@bsp.guam.gov				
* Signature of Authorized Representative: * Date Signed: 499/17				

Authorized for Local Reproduction

Standard Form 424 (Revised 10/2005) Prescribed by OMB Circular A-102

plication for Federal Assistance SF-424	Version (
oplicant Federal Debt Delinquency Explanation	
following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum	number of
racters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of spi	ace.
	-1 - 1



# BJA FY 17 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program 2017-H1491-GU-RT



**Application** 

Correspondence

Application: Switch to ...

#### **Application Handbook**

<u>Overview</u>

**Applicant** Information This handbook allows you to complete the application process for applying to the BJA FY 17 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program. At the end of the application process you will have the opportunity to view and print the SF-424 form.

Overview

#### **Project Information**

**Budget and** Program **Attachments** 

Assurances and Certifications

Review SF 424

Submit Application

Help/Frequently **Asked Ouestions** 

**GMS Home** 

Log Off

*Type of Submission	Application Construction     Application Non- Construction	Preapplication Construction Preapplication Construction	Non-
*Type of Application		New	▼
	If Revision, select appropriate option	Type of Revision	▼
	If Other, specify		
*Is application subject to review by state executive order 12372 process?	Yes This preapplication/app state executive order 12372 June ▼ 30 ▼  No Program is not covered	process for review on 2017 ▼	able to the
	N/A Program has not been	selected by state for rev	iew

Save and Continue



# BJA FY 17 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program 2017-H1491-GU-RT



**Application** 

Correspondence

App	lication:	Switch	to

#### **Application Handbook**

# **Applicant Information**

<u>Overview</u>

Verify that the following information filled is correct and fill out any missing information. To save changes, click on the "Save and Continue" button.

Applicant Information

**Project Information** 

Budget and Program Attachments

Assurances and Certifications

Review SF 424

**Submit Application** 

Help/Frequently Asked Questions

**GMS Home** 

Log Off

- mulcates	required field
*Is the applicant delinquent on any federal debt? (If Yes is selected, please upload an explanation)	● Yes ● No
*Employer Identification Number (EIN)	98 - 0018947
*Type of Applicant	State
Type of Applicant (Other):	
*Organizational Unit	Bureau of Statistics and Plan
*Legal Name (Legal Jurisdiction Name)	Guam Bureau of Statistics ar
*Vendor Address 1	513 W Marine Corps Drive
Vendor Address 2	
*Vendor City	Hagatna
Vendor County/Parish	
*Vendor State	Guam ▼
*Vendor ZIP	96910 -4906 <u>Zip+4 Lookup</u>
Please p	rovide Point of Contact Information for matters involving this application
*Contact Prefix:	Mr. ▼
Contact Prefix (Other):	
*Contact First Name:	Manuel
Contact Middle Initial:	
*Contact Last Name:	Cruz
Contact Suffix:	Select a Suffix ▼
Contact Suffix (Other) :	

*Contact Title:	Deputy Director			
*Contact Address Line 1:	513 W Marine Corps Drive			
Contact Address Line 2:				
*Contact City	Hagatna			
Contact County:				
*Contact State:	Guam ▼			
*Contact Zip Code:	96910 - 4906 <u>Zip+4 Lookup</u>			
*Contact Phone Number:	671 472 4201 Ext:			
Contact Fax Number:	671 477 1812			
*Contact E-mail Address:	manny.cruz@bsp.guam.gov <u>Email Help</u>			

Save and Continue



# BJA FY 17 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program 2017-H1491-GU-RT



**Application** 

Correspondence

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Switch to ...

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#### **Application Handbook**

# **Project Information**

<u>Overview</u>

Applicant Information

**Project Information** 

Budget and Program Attachments

Assurances and Certifications

Review SF 424

**Submit Application** 

Help/Frequently Asked Ouestions

**GMS Home** 

Log Off

*Descriptive Title of Ap	plicant's Project		
Guam FY 2017 Resi State Prisoners G		ce Abuse Trea	atment for
*Areas Affected by Pro State	ject		
Proposed Project			
	*Start Date	October •	01 ▼ 2017 ▼
	*End Date	September ▼	30 ▼ 2020 ▼
*Congressional District	s of		
	Project	Congressiona	al District 00, GU
*Estimated Funding			
Federal		\$ 1	.00
Applicant		\$ 0	.00
State		\$ 0	.00
Local		\$ 0	.00
Other		\$ 0	.00
Program Income		\$ 0	.00
TOTAL		\$ 1	.00

Save and Continue



# BJA FY 17 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program 2017-H1491-GU-RT



**Application** 

Correspondence

Application: Switch to ...

Application Handbook This page allows you to upload the Budget Detail Worksheet, Financial Management and System of Internal Controls Questionnaire (FCQ) form, Program Narrative, and other Program attachments. Click the attach button to continue.

Overview

Applicant Information

FCQ Attachment

**Project Information** 

Budget and Program Attachments

Assurances and Certifications

Review SF 424

Submit Application

In accordance with the Part 200 Uniform Requirements as set out at 2 C.F.R. 200.205, Federal agencies must have in place a framework for evaluating the risks posed by applicants before they receive a Federal award. To facilitate part of this risk evaluation, all applicants are to download, complete, and submit the Financial Management and System of Internal Controls Questionnaire.

For your convenience your most recently submitted FCQ Form is attached below. Please review it for accuracy. If you need to make changes, please submit an updated FCO form, that will replace your most recently submitted FCQ Form.

Most Recently Submitted FCO form	
FY 2017 RSAT-Attachment 4-Financial Management and Systems of Internal Controls  Questionnaire.pdf	Delete

Help/Frequently **Asked Ouestions** 

**GMS** Home

Loa Off

Your FCQ form has been successfully attached, but the application has not been submitted to OJP. Please continue with your application.

## **Budget and other Program Attachments**

FY 2017 RSAT-Attachment 1-Project Abstract.pdf	Delete
FY 2017 RSAT-Attachment 2-Program Narrative.pdf	Delete
FY 2017 RSAT-Attachment 3-Budget Detail Worksheet & Budget Narrative.pdf	Delete
FY 2017 RSAT-Attachment 5-Disclosure of High Risk Status.pdf	Delete
FY 2017 RSAT-Attachment 7-Research and Evaluation Independence and Integrity.pdf	Delete
FY 2017 RSAT-Attachment 8-Request for a Waiver of Match Requirement.pdf	Delete
FY 2017 RSAT-Attachment 9-Applicant Disclosure of Lobbying Activities.pdf	Delete
FY 2017 RSAT-Attachment 6-Applicant Disclosure of Pending Applications.pdf	Delete
Click on the Attach Button to upload an attachment	Attach

Continue

Your file has been successfully attached, but the application has not been submitted to OJP. Please continue with your application.

Please download the latest version of Adobe Acrobat Reader®.

# Project Abstract



# Part 1: Please identify the applicant point of contact (POC)

OMB No. 1121-0329 Approval Expires 07/31/2016

Applicant POC		
Organization Name	Guam Bureau of Statistics and Plans	
POC Name	Mr. Manuel Q. Cruz	
Phone Number	671-472-4201/2/3	
Email Address	manny.cruz@bsp.guam.gov	
Mailing Address	513 West Marine Corps Drive, Hagatna, Guam 96910	

# Part 2: Please identify the application

Application Information		
Solicitation Name	BJA FY 17 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program	
Project Title	FY 17 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program	
Proposed Start Date	10/01/2017	
Proposed End Date	9/30/2020	
Funding Amount Requested	\$1	

# Part 3: Please identify the project location and applicant type

Project Location and App	plicant Type
Project Location (City, State)	Hagatna, GU
Applicant Type (Tribal Nation, State, County, City, Nonprofit, Other)	State





## Part 4: Please provide a project abstract

Enter additional project abstract information. Unless otherwise specified in the solicitation, this information includes:

- · Brief description of the problem to be addressed and target area and population
- Project goals and objectives
- Brief statement of project strategy or overall program
- Description of any significant partnerships
- Anticipated outcomes and major deliverables

Text should be single spaced; do not exceed 400 words.

#### **Project Abstract**

The Guam Bureau of Statistics and Plans, Government of Guam, is applying for the Fiscal year 2017 Residential Substance Abuse Treatment (RSAT) for State Prisoners Grant. Through its implementing agency, the Guam Department of Corrections (DOC) will continue operation of its RSAT Program. The RSAT Program's goal is to break the cycle of drugs and violence by reducing the demand for, use, and trafficking of illegal drugs. The RSAT Program will address the goal and objectives by helping the inmate prepare himself mentally and physically for release from prison and reunification with the family, society, and themselves. The program will provide training for the inmate that will encourage self-control, enable the individual to stop using substances, educate this person in everyday life skills that will allow them to make decisions based on cause and effect then teach them the importance of self-control, stress management, and anger management, project major deliverables will be the required data collected to address the performance Measures for the RSAT Grant Program. Coordination efforts are in place with DOC, the Superior Court of Guam, Parole Services Division and the Guam Behavioral Health and Wellness Center, to include, community self-help entities. DOC will take the lead in coordinating treatment services.





# Part 5: Please indicate whether OJP has permission to share the project abstract

If the applicant is willing for the Office of Justice Programs (OJP), in its discretion, to make the information in the project abstract above publicly available, please complete the consent section below. Please note, the applicant's decision whether to grant OJP permission to publicly release this information will not affect OJP's funding decisions. Also, if the application is not funded, granting permission will not guarantee that information will be shared, nor will it guarantee funding from any other source.

<b>Permiss</b>	ion not	granted
----------------	---------	---------

Permission granted (Fill in authorized official consent below.)

On behalf of the applicant named above, I consent to the information in the project abstract above (including contact information) being made public, at the discretion of OJP consistent with applicable policies. I understand that this consent is only necessary to the extent that my application is unfunded; information submitted in an application that is funded (including this abstract) is always releasable to the public consistent with FOIA rules. I certify that have the authority to provide this consent.

Signature		Date
M	n)S	6/30/17
AO Name	Manuel Q. Cruz	
itle	Deputy Director	
Organization Name	Guam Bureau of Statistics	and Plans
	Guam Bureau of Statistics 671-472-4201/2/3	and Plans

**Note:** This document is to be submitted as a separate attachment with a file name that contains the words "**Project Abstract.**"



# FISCAL YEAR 2017 RESIDENTIAL SUBSTANCE ABUSE TREATMENT (RSAT) FOR STATE PRISONERS

BUREAU OF STATISTICS AND PLANS
GOVERNMENT OF GUAM
July 05, 2017

#### Attachment 2

## FY 2017 Residential Substance Abuse Treatment Program Grant Application

#### **Program Narrative:**

According to the Department of Correction's Casework & Counseling Services Division and Forensic Unit, the population in the past two (2) years has been approximately seven hundred and fifty-one (751) local inmates/detainees. Statistics show of the 751, over 87% of those incarcerated admitted to substance use and abuse prior to or during the commission of their crime. This number also continues to represent a high incident rate of Parole/Probation individuals being revoked and incarcerated due to their substance use and abuse.

With the incarceration of an inmate as punishment for a crime committed comes the responsibility of the State to provide the treatment necessary towards the rehabilitative process. As the Department of Corrections (DOC) is responsible for the custodial care of incarcerated individuals, they also have the responsibility to rehabilitate prisoners so that upon release they may become useful members to themselves and to society. The implementation of the Residential Substance Abuse Treatment (RSAT) Program in March 1999 continues to be a vital and crucial therapeutic program to the rehabilitative process.

From the first RSAT Cycle in 1999 leading to the 22<sup>nd</sup> Cycle in 2016, a total of 336 clients have graduated from the program. Earlier RSAT programs did not fully address the importance of aftercare treatment, thus clients received minimal treatment leading to a high probability of recidivism. Since the requirement of an aftercare component, inmates now have access to treatment services just prior to their release from corrections and then receive aftercare services when they return to the community to ensure their continued success in remaining and leading substance free lives. Through coordination with the Guam Behavioral Health and Wellness Center (GBHWC) for

aftercare services, approximately 57% or 190 clients successfully graduated from aftercare prior to or upon their release. Of the remaining 43%, clients were dropped due to voluntary request or terminated due to program violations possibly because of the lack of aftercare services in prior and earlier RSAT programs.

The project proposal for FY 2017 will continue to enhance the Department of Corrections Residential Substance Abuse Treatment (RSAT) Program, which has been the only pathway for inmates to receive substance abuse treatment while being incarcerated. The RSAT programs target population is for inmates who have six (6) to twelve (12) months left on their term of confinement. The Program is composed of two Phases with Phase I lasting six months with an In-House Treatment Program while incarcerated, and Phase II, the Aftercare Program, which will last another six months of community-based treatment services.

The RSAT Program promotes an alternative to a better, healthier, and more positive lifestyle for those inmates who are enrolled and treated in the program. The program also visualizes the importance of the transition and reintegration process prior to the release of RSAT participants back into the community. Upon release, client expectations are immediate with the visual concept that family structures and romantic relationships remained intact while incarcerated, and that employment opportunities are available to them. The RSAT Program hopes to prepare the individual for a substance free world that realistically owes him nothing, and that he or she will have to make a concerted effort to reintegrate back to the family and to society. The transition and reintegration into the community will be enhanced through on-going aftercare programs and self-help support groups which will ensure a continuum of treatment and positive reinforcement.

A Program geared towards the continuation of a residential substance abuse treatment has been deemed to be critical to the success of rehabilitation efforts at the Department of Corrections.

#### Goals and Objectives:

The RSAT Program's goal is to break the cycle of drugs and violence by reducing the demand for, use, and trafficking of illegal drugs through the following objectives:

- Enhancing the capability of states and units of local government to provide residential substance abuse treatment for incarcerated inmates;
- Preparing offenders for their reintegration into the communities from which they came
   by incorporating reentry planning activities into treatment programs; and
- Assisting both the offenders and their communities through the reentry process through the delivery of both community-based treatment and other broad-based aftercare services.

The Guam Department of Corrections RSAT Program will address the goal and objectives by helping the inmate prepare himself mentally and physically to be substance free for release from prison and reunification with the family and society. To achieve this, the Guam Department of Corrections will build and increase treatment capacity through the hire of a Psychiatric Technician I, Psychiatric Technician II and a Chemical Dependency Treatment Specialist II.

One of the critical challenges that DOC has been faced with is the lack of adequate treatment providers and sustaining them overtime to build the capacity needed. The increase in treatment staff capacity will ensure that the treatment and individual care of the clients are met. This will enable the individual to stop using substances, educate the individual in everyday life skills to allow them to make decisions based on cause and effect, teach the importance of self-control, stress management and anger management. Of importance, clients will be provided with the tools that will make the transition from prison life to the free world as stress free as possible

and programmed for success. Success, in this case, is being a chemically free individual able to cope with life and remain out of trouble and out of prison.

The DOC RSAT Program shall incorporate the following approaches:

- ✓ Establish a strict process in screening potential participants.
- ✓ The establishment of a therapeutic community.
- ✓ A combination of treatment types to include Cognitive Behavioral Therapy and the 12step Program/Matrix.
- ✓ The intense involvement of inmates in their own problem solving and development through a Relapse Prevention Plan (RPP) of intervention.
- ✓ Continuation of a structured aftercare component.

As the interest in RSAT continues to increase, it is important that a strict process is in place for the screening of potential clients. To ensure the right target population is assessed that will meet the RSAT requirements and reduce recidivism, the department will reevaluate its screening criteria and establish a strict process in the review and selection of potential RSAT clients.

Cognitive behavioral therapy is a short-term, goal-oriented psychotherapy treatment that takes a hands-on, practical approach to problem-solving. Its goal is to change patterns of thinking or behavior that are behind people's difficulties, and so change the way they feel. It is used to help treat a wide range of issues in a person's life, from sleeping difficulties or relationship problems, to drug and alcohol abuse or anxiety and depression. CBT works by changing people's attitudes and their behavior by focusing on the thoughts, images, beliefs and attitudes that we hold and how this relates to the way we behave, as a way of dealing with emotional problems.

An important advantage of cognitive behavioral therapy in the RSAT program is that it tends to be short, taking four to six months for most emotional problems. Clients attend one session

per week, each session lasting approximately 50 minutes. During this time, the client and therapist are working together to understand what the problems are and to develop a new strategy for tackling them and be introduced to a set of principles that they can apply whenever they need to, and will stand them in good stead throughout their lives. Cognitive behavioral therapy can be thought of as a combination of psychotherapy and behavioral therapy. Psychotherapy emphasizes the importance of the personal meaning we place on things and how thinking patterns begin in childhood and behavioral therapy pays close attention to the relationship between our problems, our behavior and our thoughts.

The DOC RSAT Program will also incorporate a treatment program based on the 12-step Program/Matrix Model. This group therapy model draws on the social support offered by peer discussion to help promote and sustain drug-free lifestyles. A series of eighteen (18) separate topics will continue to be addressed via sessions conducted over a minimum period of six (6) months. These objectives are based on the significance of these inmates developing a Relapse Prevention and Recovery process model to maintain a drug-free lifestyle to include Orientation/Rights and Responsibilities; Goal Setting; Chemical Dependency; Substance Pharmacology; Twelve (12) Principles Steps of Recovery - Matrix Program Model I-IV; Acceptance; Recovery; Communication Skills; Listening; Positive and Negative Life Stresses; Stress Management; Anger Management; Choices; Coping Skills; Decision Making Skills; Defense Mechanisms; and Health Issues.

Most drug addiction treatment programs encourage patients to participate in group therapy during and after formal treatment. These groups offer an added layer of community-level social support to help people in recovery with abstinence and other healthy lifestyle goals and

multidimensional family therapy program, which is designed to support recovery of the patient by improving family functioning.

The Department of Corrections (DOC) will continue to provide other resources and support in terms of custodial care of the clients and security assistance until their release from the facility. Furthermore, coordination with other governmental agencies in the effort to provide a viable Residential Substance Abuse Treatment (RSAT) Program will be implemented to help promote healthier and positive lifestyle for those enrolled and treated in the program.

#### Implementation Process:

- Since March 1999, Department of Corrections assumed the responsibility to continue the implementation of the RSAT program. The Department of Corrections will ensure treatment provider services are available to facilitate the weekly treatments, group sessions, and other related treatment services as required.
- The Department of Corrections will continue to implement and provide the appropriate
  resources (i.e., staff, space, and equipment, etc.) in the implementation and facilitation of
  the program.
- The Department of Corrections will be responsible for setting aside a designated unit location for the purpose of the program.
- The Department of Corrections will continually collaborate with the Guam Behavioral Health and Wellness Center's Recovery Oriented Systems of Care (ROSC) Program for the Aftercare Program as well as coordination with the Parole and Probation Offices for follow-up and continuity of treatment care.
- The Department of Corrections will also maintain and coordinate urinalysis drug testing of inmates in the program. In 2015, a total of nine (9) clients were selected to participate in

the RSAT Program. Of the total RSAT clients, two (2) clients were removed due to institutional violations not related to drugs or alcohol. The remaining seven (7) clients participated and completed the 21<sup>st</sup> RSAT Cycle. In 2016, a total of ten (10) clients were selected, participated and completed the 22<sup>nd</sup> RSAT Cycle.

During the duration of the 21<sup>st</sup> and 22<sup>nd</sup> RSAT Cycles, a total of 442 urinalysis tests were conducted on the total 17 participants. Each client was tested once a week during the duration of their RSAT treatment, both periodic and random. All 442 urinalysis tests were negative in the results. DOC encountered delays in the implementation of both Cycles and constraints in the availability of trained personnel to conduct the urinalysis during the period.

#### Timetable for Implementation:

Implementation of the RSAT Program should begin immediately after each graduating cycle. A two month assessment and evaluation period takes place for possible candidates to the program. The 21<sup>st</sup> RSAT cycle, completed in December 2015, was composed mainly of male clients. The 22<sup>nd</sup> RSAT cycle, completed in August 2016, was again composed mainly of male clients. An exact timetable for the FY 2016 and FY2017 RSAT Program can only be approximated at this time as the FY 2013, FY 2014, and FY2015 RSAT Grants are close to completion or in the initial implementation stage. The FY 2013, FY 2014, and FY 2015 will most likely foresee the program facilitation for the 23<sup>rd</sup> and 24<sup>th</sup> RSAT cycles. The FY 2016 RSAT will likely facilitate the 25<sup>th</sup> cycle. During this time, the Guam Department of Correction with coordinate with the Guam Department of Administration in the recruitment of treatment staff positions.

Once the assessment and evaluation period has been completed, clients who meet the eligibility criteria for the RSAT are recommended to a classification committee to determine the

final eligibility listing. Once the final selection of clients is made, clients are moved from the general population and housed in the RSAT facility where they will undergo an intensive 6-month treatment program. Clinical and program staff will be in place and the highly structured curriculums are ready for implementation.

Coordination efforts are in place with the Superior Court of Guam, the Guam Behavioral Health and Wellness Center, as well as other community-based substance abuse providers such as the Salvation Army, Lighthouse Recovery Center, West-Care, Humanities Council, AA and NA all critical to the overall success of the program. Proper coordination will ensure a continuum of treatment services to program participants. DOC will take an active lead in coordinating with the Superior Court of Guam, Parole Services Division and the Guam Behavioral Health and Wellness Center, to include, community self-help entities such as Alcoholics Anonymous and Narcotics Anonymous. The Guam Behavioral Health and Wellness Center's Recovery Oriented Systems of Care (ROSC) Program will be the primary entity for aftercare treatment services immediately upon the client's completion of the In-Prison RSAT program.

#### Target Group:

The target group for the RSAT program are inmates (male and female) who have six (6) months to twelve (12) months remaining on their prison sentence, are convicted, or have a history of Substance Abuse (drug or alcohol).

#### Treatment Schedule:

The Residential Substance Abuse Treatment Program will be offered on an on-going basis. Each individual will be monitored according and their objective needs will be based on their individualized treatment and Relapse Prevention Plan. Structured sessions will be for ten (10)

hours, five (5) days per week for a minimum period of six (6) months and individual counseling will be provided as necessary.

#### **Aftercare Treatment Services:**

Prior to the RSAT program, inmates with substance abuse problems had limited resources available. They received educational services, individual and group counseling, and were encouraged to participate in Alcoholics Anonymous (AA) and Narcotics Anonymous (NA) groups. In part, because their addiction problems received minimal treatment, inmates had a high probability of recidivism, a problem that contributed to high rates of incarceration. Since the inception of the program, inmates can access treatment services just prior to their release from corrections and then receive aftercare services when they return to the community to ensure their continued success in remaining and leading substance free lives.

The successful completion of the six month RSAT program will be followed by another six months of aftercare also known as continuing care services which will be administered by the Guam Behavioral Health and Wellness Center (GBHWC). Primary focus of this service is for providers to facilitate recovery plans and to further stability in the lives of participating inmates. The Guam Behavioral Health and Wellness Center's aftercare program will be implemented via the Recovery Oriented Systems of Care (ROSC) following the Criminal Justice Matrix Model. One objective of this model is to improve access to aftercare or continued substance abuse services for individuals who complete the Department of Corrections' RSAT program.

A Letter of Agreement exists between Guam Behavioral Health and Wellness Center and the Department of Corrections for the implementation of the Aftercare component. A new revised Letter of Agreement between GBHWC and DOC was signed and effective on October 2016. Gaps in services are still evident, and as the ROSC is a relatively new program addressing aftercare

and networking partners in helping clients achieve drug-free lifestyles will develop overtime.

The GBHWC as well as the Department of Corrections RSAT program are currently utilizing the Matrix Institute on Addictions approach in understanding addiction disorders and to improve the quality and availability of addiction treatment services. Clients will have a certified counselor available to assist them with their recovery plans. Another objective is to provide individualized intensive case management to assist clients. An experienced social worker will be working with clients closely to assist in but not limited to securing housing, employment and/or educational opportunities, reliable transportation through public transit services, and access to basic healthcare with the Guam Department of Public Health and Social Services.

Trained Recovery Coaches and Peer Specialists will monitor each participant's progress in addressing any drug and alcohol challenges or triggers that the inmate encounters. Social support groups will also aid in helping program participants address core issues, validate emotional needs and tap into abilities and gained skills to live sober and drug-free lifestyles. Guam Behavioral Health periodically also conducts telephone checks to monitor client progress and for continued substance abuse services. Overall, the aim is to establish strong recovery support systems for clients that results in reducing risks for relapse and recidivism. The anticipated primary outcome is for ex-offenders to maintain a healthy lifestyle and become productive and contributing members in the community.

### Related Federal Funding and Activities:

Guam is not receiving Second Chance Act funding from the U.S. Department of Justice.

Consequently, coordination with RSAT-funded programs is not necessary.

#### **Current Drug Testing Programs**

DOC's Parole Division and Casework Division staffs have been trained to administer and conduct drug testing of inmates. This includes the witnessing, securing, numbering, documentation and transferring of samples to the Laboratory. The turnaround time is typically anywhere from two (2) to seven (7) days for complete assessment. The RSAT program will utilize the services of a private laboratory for the purpose of urinalysis drug testing. The selected laboratory will serve to enhance the goal of the RSAT program by increasing the number of inmates who can be tested at any given time and also reducing the turnaround time for each assessment. As a result of periodic and random drug testing, a total of 336 RSAT clients remained drug-free during participation in the residential program.

#### Plan for Collection of Performance Measures:

Data to address the information required to complete the Performance Measures will be collected and reported on the Bureau of Justice Assistance's Performance Measures Tools website.

Quantitative measures will be reported on a quarterly basis and qualitative measures will be reported on a semi-annual basis in order to measure the results of program performance.

The Bureau of Statistics and Plans will develop a data table that will encompass the activities and services provided to track performance and participation in the RSAT Program. The data table along with GPRA RSAT Performance Measures will be provided to the Department of Corrections RSAT Program Manager at the start date of the project. The RSAT Program Manager is tasked with coordinating the collection of the data from diagnostic treatment service providers. The RSAT Program Manager will compile the data monthly, analyze the data quarterly and submit it to the Bureau of Statistics and Plans fifteen days after the end of the calendar year quarter along with the semi-annual progress reports.

The RSAT Program Manager will ensure the data is accurate, auditable, and correctly measures the impact of the Federal funds provided. The data will be available for review three years after the grant has closed with the Bureau of Statistics and Plans, the State Administering Agency. Information that is reported will absolutely not include any "personally identifiable information".

#### Organization Capabilities and Competencies

The Guam Department of Corrections (DOC) is the only adult correctional facility onisland. It is responsible for the security and confinement of local and federal pretrial detainees,
convicted inmates, and contempt of court individuals, inclusive of individuals under the oversight
of the Superior Court of Guam, Alternative Sentencing and Probation Programs. In addition, DOC
has oversight over the Community Corrections Center and provides administrative support to the
Guam Parole Board. The Department is composed of four facilities to include the Guam Federal
Detention Center, the *Hagåtña* Detention Facility, the Adult Correctional Facility, and the Female
Correctional Facility. The Adult Correctional Facility and the Female Correctional Facility for
several years have been used to also house pretrial detainees as well.

The Department of Corrections is an agency that comprises numerous career officers, counselors, and administrative staff members. In a few instances, the senior staff has an average of more than twenty years of corrections experience. The Guam Department of Corrections is not only responsible for the custodial care of prisoners but also to rehabilitate prisoners so that upon release they may become useful members to themselves and to society. The Diagnostic Treatment Services Division primarily deals with the changing of the prisoners' criminal attitudes through counseling and programming services. It acts as a linkage in maintaining the prisoner's relationship with their families and the community. DTSD has a Forensic Unit that is also

responsible for performing diagnostic and treatment of mentally deficient inmates. The ultimate success of rehabilitation of prisoners with serious mental and behavioral problems rests heavily on this unit. The services it provides for the care and control of emotionally and mentally disturbed inmates enhances the prevention of suicide, homicide and other prison disorders.

Casework and Counseling services are provided to inmates and their families to help address emotional and psychological barriers and provide supportive social casework (counseling, family counseling and school/employment placement).

The Parole Services Division of the Department of Corrections is responsible for the supportive social work treatment of conditional release offenders, assist with the reintegration process, the monitoring for compliance of parole conditions and evaluation of behavioral patterns, and the determination of continued parole or re-commitment.

The Director and Deputy will provide management oversight and periodically hold meetings to review operations. The Diagnostic Treatment Services Division to include Casework and Counseling together with the Parole Division and the Administrative Services Officer will provide direct project oversight, monitoring and supervision as well as prepare and submit all requisite financial and program reports.

#### **Critical Elements:**

The Bureau of Statistics and Plans is the State Administering Agency (SAA) for the Residential Substance Abuse Treatment Grant Program. The Bureau will be responsible for coordinating the establishment of the program account for the Residential Substance Abuse Treatment Program with the Department of Administration and the account establishment with the Department of Corrections.

The Bureau will be responsible for reviewing progress, financial, and semi-annual reports; coordinating and/or providing technical assistance (T/A) as needed; performing desktop and onsite monitoring activities; and program evaluation. In addition, the Bureau will monitor to ensure coordination activities of the RSAT program with the aftercare drug/alcohol treatment services administered by GBHWC and other community based substance abuse program are consistent with the intent of the RSAT program. The Bureau will request a 10 percent (%) cost share for the program related activities to be performed in the administration of the RSAT program.

The RSAT Grant Administrator is Chief Planner Lola Leon Guerrero. Program related activities and financial management is tasked with Planner III Mille Erguiza and Administrative Services Officer Terry Cuabo respectively. All administrative positions are non-RSAT grant funded.

#### Time/Task Plan:

The following is the projected Time & Task Plan for the Residential Substance Abuse Treatment Grant Program:

Month	Project Task	
October- December	Award of FY2017 RSAT by USDOJ.	
2017	<ul> <li>BSP will address special conditions required to obtain GAN clearance. Submit award acceptance to USDOJ, prepare EEOP Certification, insure current registration with the System of Award Management (SAM), submission of the revised RSAT budget, certification of OCR and Privacy Certificate requirements and other special grant award conditions as required.</li> </ul>	
January – June 2018	<ul> <li>Dependent on the final GAN clearance of special award conditions,</li> <li>BSP will initiate the establishment of the award with the Guam</li> <li>Bureau of Budget and Management Research (BBMR) and the</li> </ul>	

	Guam Department of Administration (DOA) and ensure Guam State
	Clearinghouse procedures for award establishment.
	BSP will submit quarter financial reports and upload quarter PMT
	data and prepare and submit semi-annual progress report via GMS.
July - October 2018	<ul> <li>Upon establishment of the FY 2017 RSAT Grant Award, BSP will develop and prepare the MOU with the Department Corrections</li> </ul>
	BSP will prepare Work Request for the establishment of the project account; ensure coordination, review and signatory of the MOU with the Department of Corrections, the Guam Bureau of Budget and
	Management Research (BBMR), the Guam Office of the Attorney General, and the Office of the Governor of Guam.
	Upon approval by the Governor of Guam, BSP will ensure
	coordination with the Guam Department of Administration (DOA) for the establishment of the project account.
	BSP will submit quarter financial reports and upload quarter PMT data.
November -	Upon establishment of project account, BSP will develop and
December 2018	prepare a Sub recipient Administrative Manual regarding the
	USDOJ administrative and fiscal requirements for the RSAT Grant Program.
	<ul> <li>Conduct a Sub recipient Workshop with program and fiscal staff of the Department of Corrections regarding grant requirements.</li> </ul>
	<ul> <li>Upon completion of the workshop, the Department of Corrections is anticipated to begin the implementation of the FY 2017 RSAT Grant Program following the approved project and budget.</li> </ul>
	BSP will submit quarter financial reports and upload quarter PMT
	data and annual and the first transfer to the second
	data and prepare and submit semi-annual progress report via GMS.

- Technician I, Psychiatric Technician II, and the Chemical Dependency Treatment Specialist II; Director of DOC will sign GG1 recruitments; and the Bureau of Budget and Management Research will clear GG1 recruitments.
- The Department of Administration-Human Resource Division will process the recruitment GG1's.
- DOA-HR will prepare and announce Psychiatric Technician I,
   Psychiatric Technician II, and the Chemical Dependency Treatment
   Specialist II positions; Review and Rate Applications; Prepare and
   Submit Eligibility List to DOC for interviews.
- DOC will form interview committee and conduct interviews.
   Selection of Psychiatric Technician I, Psychiatric Technician II, and the Chemical Dependency Treatment Specialist II made; background check and drug testing conducted and completed.
- ASO encumbers the funds for procurement of RSAT treatment supplies.
- DOC will prepare quarter progress, PMT, and financial reports;
   prepare Semi-annual progress report for submission to BSP.
- BSP will submit quarter financial reports and upload quarter PMT data and prepare and submit semi-annual progress report via GMS.

# July – December 2019

- Treatment staff are in place with DOC and will to conduct and facilitate the RSAT Program requirements.
- DOC to initiate the review and selection of clients for the anticipated
   25<sup>th</sup> RSAT Cycle. The cycle will last 6 months in-house.
- DOC completes procurement of RSAT treatment supplies and related equipment; prepares to receive items.
- BSP will obtain price quotations for office supplies; BSP ASO will encumber the funds for the procurement.
- DOC will prepare quarter progress, PMT, financial reports for submission to BSP.

	BSP will submit quarter financial reports and upload quarter PMT
	data and prepare and submit semi-annual progress report via GMS.
January – June 2020	BSP ASO will be responsible for coordinating the receipt and deliver of office supplies.
	BSP ASO will prorate contractual services for internet, photocopie
	lease and printer support service plan maintenance; encumber funds
	BSP will prepare for the anticipated Annual RSAT Conference and
	request for travel authorization from Grantor using funds approve
	under travel. DOC will coordinate with treatment providers in th
	implementation of the 25th RSAT Cycle and track client performance
	with program objectives.
	DOC will prepare quarter progress, PMT, and financial reports for
	submission to BSP.
	BSP will submit quarter financial reports and upload quarter PM
	data and prepare and submit semi-annual progress report via GMS.
	BSP will encumber and obligate available administrative funds.
July – December	Annual RSAT National Meeting attended; clear travel requirements.
2020	DOC will continue to monitor and coordinate progress with
	treatment provider with the 25th RSAT Cycle and track client
	performance with program objectives.
	BSP will liquidate their administrative funds.
	DOC will prepare for the graduation of the 25 <sup>th</sup> RSAT Cycle. Upon
	completion, graduates released on parole will participate in the 6
	months aftercare funded under the Byrne JAG Recovery Oriented
	Systems of Care (ROSC). Client progress will continue to be
	monitored by DOC.
	DOC will prepare quarter progress, financial and PMT for
	submission to BSP.

	BSP will submit quarter financial reports and upload quarter PMT
	data and prepare and submit semi-annual progress report via GMS.
January - June 2021	<ul> <li>DOC to initiate the review and selection process for the 26<sup>th</sup> RSAT Cycle.</li> <li>DOC will coordinate with treatment providers in the implementation of the 26<sup>th</sup> RSAT Cycle and track client performance with program objectives.</li> <li>Client progress in aftercare will continue to be monitored by DOC in collaboration with Guam Behavioral Health &amp; Wellness Center until graduation.</li> <li>DOC will prepare quarter progress, financial, and PMT data; prepare semi-annual progress report for submission to BSP.</li> <li>BSP will submit financial report and upload PMT data and prepare and submit semi-annual progress report via GMS.</li> </ul>
July – December 2021	<ul> <li>DOC will coordinate with treatment provider in the implementation of the 26<sup>th</sup> RSAT Cycle and track client performance with program objectives until funds are exhausted and prepare and submit all required quarter and semi-annual reports.</li> <li>DOC will prepare for the graduation of the 26<sup>th</sup> RSAT Cycle. Upon completion, graduates released on parole will participate in the 6 months aftercare funded under the Byrne JAG Recovery Oriented Systems of Care (ROSC). Client progress will continue to be monitored by DOC.</li> <li>BSP (SAA) will process grant project for closure, prepare final financial and close-out PMT and narrative reports.</li> </ul>

#### Attachment 3

# FY 2017 Residential Substance Abuse Treatment Program Base Funds Budget Detail Worksheet & Budget Narrative

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Position Computation Cost

Not Applicable (N/A)

TOTAL PERSONNEL \$0.00

**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

 Position
 Computation
 Cost

 Not Applicable (N/A)
 BENEFITS
 \$0.00

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meetings, etc. Show the basis of computation (e.g., six people 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects travel and meals for trainees should be listed separately. Show the number of trainees and unit cost involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Computation	Cost
(220) Administrative Cost - Bureau of		
Statistics and Plans		
(220) US Department of Justice Grants RSAT Grant Program	\$2,790 Economy Airfare x	\$2,790.00
(220) USDOJ RSAT Meeting Per Diem	\$293 Per Diem x 3 days x	\$879.00
(Applicant Travel Regulations Applied)		
TOTAL AI	OMINISTRATIVE TRAVEL	3,669.00

Budget Narrative for Administrative Travel: Provides for one (1) program staff to attend a U.S. Department of Justice (USDOJ) RSAT meeting as called for in the FY 2017 Residential Substance Abuse Treatment Program grant application solicitation. The grant application solicitation stated that applicants budget for two (2) people to attend this meeting. However, the SAA's administrative cost budget (based on FY 2016 RSAT award, 10% of the total grant amount) \$3,669 is insufficient to send two people to this meeting. The allocated SAA funding may also be insufficient to meet the airfare expense of one (1) individual and may have to request Office Program approval to reprogram funds from another RSAT Grant Program to meet the implemented travel costs associated at the time of travel. Therefore, the SAA provides the following estimate to provide for one (1) person to attend this meeting. The venue of the meeting is assumed to be in Washington, D.C. Estimated Economy Airfare is \$2,790 x 1 person = \$2,790. Estimated Per Diem is \$222 + \$71 x 3 days (2 meeting days + 1 travel day) x 1 person = \$879 (Per Diem will be adjusted according to prescribed GSA rates on the month of anticipated travel). The estimated cost for travel is \$3669.

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**D. Equipment** - List non-expendable items that are to be purchased. Non-expendable equipment is tangible property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. (Note: Organization's own capitalization policy may be used for items costing less than \$5,000). Expendable items should be included either in the "supplies" category or in the "Other" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item Computation Cost

Not Applicable (N/A)

TOTAL EQUIPMENT \$0.00

E.-Supplies - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Item Computation Cost

Not Applicable (N/A)

TOTAL SUPPLIES \$0.00

**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisitions

Consultant Fee: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$650 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
Consultant Expenses			
		Sub Total Consultant Fee	\$0.00
<u>Item</u>	Location	Computation	Cost
	Sub T	otal Consultant Expenses	\$0.00

Contracts		
<u>Item</u>	Computation	Cost
(230) Administrative Costs - Bureau of		
Statistics and Plans		
(230) Internet Services	\$466.96/month x 10% = \$46.70; \$46.70 x 6 months = \$280.20	\$280.20
(230) Printer Service and Maintenance	$162.00/month \times 10\% = 16.20$ ; $16.20 \times 10$ months = $162$	\$162.00
(230) Telephone Services	\$211.80/month x 10% = \$21.18; \$21.18 x 10 months = \$211.80	\$211.80
	Total Administrative Contracts	\$654.00

Budget Narrative for Administrative Contracts: The State Administrative Agency will use the administrative cost to pro-rate the the following contractual services based on the life of the grant at a cost of 10% to be used towards the general administration of the program. Total estimated cost for internet, printer service and maintenance and telephone services is \$654.00.

The pro-rated cost for internet services for an estimated six months is \$280.20 (10% of the monthly costs (\$466.96) is \$46.70; and \$46.70 x 6 months = \$280.20). The pro-rated cost for printer service and maintenance estimated for ten months is \$162 (10% of the monthly costs (\$162) is \$16.20; and \$16.20 x 10 months = \$162). The pro-rated cost for telephone services estimated for ten months is \$211.80 (10% of the monthly costs (\$211.80) is \$21.18; and \$21.18 x 10 months = \$211.80).

## (111) Subrecipient (Guam Department of Corrections) Personnel Cost

(111) Salary: Psychiatric Technician I F1 \$23,171 per annum (\$23,171/26 PP). Authorized hazardous of 10% at \$2317.	\$11.14 x 2080 x 100% (rounded to the nearest dollar) = \$23,171 x 10% hazardous pay = \$25,488	\$25,488.00
(111) Salary: Psychiatric Technician II G1 \$24,729 per annum (\$24,729/26 PP). Authorized hazardous of 10% at \$2472.	\$11.88 x 2080 x 100% (rounded to the nearest dollar)= \$24,729 x 10% hazardous pay =	\$27,201.00
(111) Salary: Chemical Dependency Treatment Specialist II M1 \$40,762 per annum (\$40,762/26 PP). Authorized hazardous of 10% at \$4076.	dollar) = \$40,762 x 10% hazardous pay =	\$44,838.00

### **Budget Narrative for Subrecipient Personnel**

Psychiatric Technician I: Funds will be used to budget for a Limited Term Appointment for a Psychiatric Technician I position. Guam DOC will implement a 14 hour day program from 6 am - 8 pm. The Psychiatric Technician I will assist in implementing the treatment care plan by the Licensed Therapist and other facilitators by taking histories and other vital signs, adminstering medications, observing RSAT clients, and

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**Total Subrecipient Personnel Cost** 

\$97,527.00

documenting their care for an 8 hour shift inclusive of an hour or more period consultation with Psychiatric Technician II and Chemeical Dependency Specialist regarding daily progress/needs/concerns in the shift change. The Psychiatric Technician will also assist clients in participating in recreational and social therapy sessions. The Psychiatric Technician I salary is \$23,171 and is authorized hazardous pay at 10% for a total of \$25,488. The Psychiatric Technician I will work a total of 2080 hours at an hourly rate of \$11.14 over the life cycle of the grant program. Funds will be used to cover twenty-six (26) pay periods.

Psychiatric Technician II: Funds will be used to budget for a Limited Term Appointment for a Psychiatric Technician II position. The Pyschiatric Technician II will provide assistance and supervision with daily needs of clients, Program facilitators, Psychiatric Technician I and to ensure comprehensive chemical dependency treatment plan is adhered following an 8 hour shift inclusive of an-hour or more period consultation with the Psychiatric Technician I and Chemeical Dependency Specialist regarding daily progress/needs/concerns in the shift change. The Psychiatric Technician II salary is \$24729 and is authorized hazardous pay at 10% for a total of \$27,201. The Psychiatric Technician II will work a total of 2080 hours at an hourly rate of \$11.88 over the life cycle of the grant program. Funds will be used to cover twenth-six (26) pay periods.

Chemical Dependency Treatment Specialist II: Funds will be used to budget for a Limited Term Appointment for a Chemical Dependency Treatment Specialist II position. The Specialist will assist the Licensed Therapist by assessing individuals for chemical dependency, develop individualized treatment plans, conduct sessions, and provide chemical dependency treatment to individuals, groups and their family members to help change destructive behaviors and lead them towards a positive life style. The Chemical Dependency Treatment Specialist II salary is \$40,762 and is authorized hazardous pay at 10% for a total of \$44,838. The Chemical Dependency Specialist will work a total of 2080 hours at an hourly rate of \$19.59 over the life cycle of the grant program. Funds will be used to cover twenty-six (26) pay periods.

(113) Subrecipient (Guam Department of Corrections) Fringe Benefits Cost			
(113) Psychiatric Technician I F1 \$14,753 per benefits:	annum for fringe		\$14,753
Psychiatric Technician I Retirement	\$25,488 x 27.71%	\$7,063	
	=		
Psychiatric Technician I Retirement (DDI Contribution)	19.01% x 26 PP =	\$495	
Psychiatric Technician I Medicare	\$25,488 x 1.45%	\$370	
Psychiatric Technician I Life	\$7.19 x 26 PP =	\$187	
Psychiatric Technician I Medical (Premium)	\$239.80 x 26 PP =	\$6,235	
Psychiatric Technician I Dental (Premium)	\$15.54 x 26 PP =	\$404	
(113) Psychiatric Technician II G1 \$15,252 per benefits:	r annum for fringe		\$15,252
Psychiatric Technician II Retirement	\$27,201 x 27.71%	\$7,537	
	=		
Psychiatric Technician II Retirement (DDI Contribution)	19.01% x 26 PP =	\$495	
Psychiatric Technician II Medicare	\$27,201 x 1.45%	\$394	
Psychiatric Technician II Life	\$7.19 x 26 PP =	\$187	
Psychiatric Technician II Medical (Premium)	\$239.80 x 26 PP =	\$6,235	
Psychiatric Technician II Dental (Premium)	\$15.54 x 26 PP =	\$404	

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(113) Chemical Dependency Treatment Special per annum for fringe benefits:	list II M1 \$20,395		\$20,395
Psychiatric Technician II Retirement	\$44,838 x 27.71%	\$12,425	
	=		
Psychiatric Technician II Retirement (DDI	19.01% x 26 PP =	\$495	
Psychiatric Technician II Medicare	\$44,838 x 1.45%	\$650	
Psychiatric Technician II Life	\$7.19 x 26 PP =	\$187	
Psychiatric Technician II Medical (Premium)	\$239.80 x 26 PP =	\$6,235	
Psychiatric Technician II Dental (Premium)	\$15.54 x 26 PP =	\$404	
	Total Subr	recipient Fringe Benefits	\$50,400.00

### **Budget Narrative for Subrecipient Fringe Benefits**

Psychiatric Technician I: Funds will be used to budget for a Limited Term Appointment for a Psychiatric Technician I position for Twenty-six (26) pay periods. The fringe benefits budget will include the following (rounded to the nearest dollar): retirement (\$7,063), DDI Contribution (\$495.00), medicare (\$370.00), life (\$187.00), medical (\$6235.00), and dental (\$404.00) over the life cycle of the grant program.

Psychiatric Technician II: Funds will be used to budget for a Limited Term Appointment for a Psychiatric Technician II position for Twenty-six (26) pay periods. The fringe benefits budget will include the following (rounded to the nearest dollar): retirement (\$7,537), DDI Contribution (\$495), medicare (\$394), life (\$187), medical (\$6235), and dental (\$404) over the life cycle of the grant program.

Chemical Dependency Specialist II: Funds will be used to budget for a Limited Term Appointment for a Chemical Dependency Treatment Specialist II position for twelve (12) pay periods. The fringe benefits budget will include the following (rounded to the nearest dollar): retirement (\$12,425), DDI Contribution (\$495), medicare (\$650), life (\$187), medical (\$6,235), and dental (\$404) over the life cycle of the grant program.

# (250) Equipment (Subrecipient Cost - Guam Department of Corrections)

(250) VHS Player (1)	1 x \$200	\$200.00
(250) VHS to DVD Converter	1 x \$200	\$200.00
(250) 60" TV	1 x \$1700	\$1,700.00

Total Subrecipient Equipment \$2,100.00

Budget Narrative For Subrecipient Equipment: A total of \$2,100 in equipment will be utilized for client therapy. With an inventory of at least 100 VHS videos that are currently used in the treatment program, it is important for the program to continue to utilize the videos for treatment purposes. The VHS/DVD Player that was purchased under the FY 2010 RSAT Grant is 6years old and is showing signs of wear and tear. The necessity to prelace the existing VCR is important to ensure continued use of the videos for treatmens purposes. The estimated costs for the VCR is \$200. With rapid technological advances and VHS/VCR production soon to become obsolete, the RSAT Program is requesting to purchase a VHS to DVD converter to convert the VHS videos to DVD in the effort to preserve the videos that the program has invested in. The estimated cost for the VHS to DVD Converter is \$200. The program is requesting a budget of \$1700 to purchase a 60" TV that will be compatible for the purpose of conducting treatment sessions and to be used to watch educational videos. The new TV will replace the TV purchased with 2010 RSAT funds which will soon be obsolete. Total estimated cost for the equipments requested is \$2,100.

FY 2017 RSAT Page 5

(240) Supplies (Subrecipient Cost - Guam Department	t of	
Corrections)		
Paper fasteners (5 boxes)	5 x \$4.50	\$23.00
Steno notebooks (2 pks @ 1 dz ea)	2 x \$30	\$60.00
Pens (2 bxs @ 1 dz ea.)	2 x \$32.50	\$65.00
Pencils (20 bx)	20 x \$8.50	\$170.00
Scotch tape (5 bx)	5 x \$13.50	\$68.00
Post-it pad (2 pkg)	2 x \$18	\$36.00
Whiteboard Markers (5 bxs)	5 x \$20.50	\$103.00
3 Hole Perforator (1 ea)	1 x \$19.00	\$19.00
2 Hole Perforator (2 ea)	2 x \$7.50	\$15.00
File Folders 6 part (4 bxs)	4 x \$54	\$216.00
Pocket folders (4 bxs)	4 x \$25	\$100.00
Certificate paper (2 pks)	2 x \$70	\$140.00
Certificate holder (5 pks)	5 x \$17	\$85.00
Photo Copy Paper 8 1/2 x 11 (4 bxs)	4 x \$35	\$140.00
Ink Cartridges (5 ea - 2 black, 1 cyan, 1 yellow, 1 magenta)	5 x \$150	\$750.00
	Total Subrecipient Supplies	\$1,990.00

Budget Narrative for Subrecipient Supplies: The Subrecipient will use a total of \$1990.00 for the purchase of the necessary office supplies to be utilized for administrative and client services and treatment needs.

### TOTAL ADMINISTRATIVE & SUBRECIPEINT CONSULTANTS/CONTRACTS

\$152,671.00

**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot rent, and provide a monthly rental cost and how many months to rent.

ltem lt. a.v.	Computation	Cost
Not Applicable (N/A)		
	TOTAL OTHER COSTS	\$0.00

I. Indirect Cost - Indirect costs are allowed only if the applicant has Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

<u>Item</u> Not Applicable (N/A)	Computation	Cost
	TOTAL INDIRECT COST	\$0.00

Funding amount is \$1.00 until final Congressioal appropriation

FY 2017 RSAT Page 6

## FY 2017 RSAT BASE BUDGET SUMMARY

	<b>Budget Category</b>	<u>Amount</u>
Α.	Personnel	\$0.00
В.	Fringe Benefits	\$0.00
C.	Travel	\$3,669.00
D.	Equipment	\$0.00
E.	Supplies	\$0.00
F.	Construction	\$0.00
G.	Consultants/Contracts	\$152,671.00
н.	Other	\$0.00
I.	Indirect Cost	\$0.00

Funding amount is \$1.00 until final Congressioal appropriation



## U.S. DEPARTMENT OF JUSTICE OFFICE OF JUSTICE PROGRAMS

OMB Number: 1121-0329 Expiration Date: 12/31/2018

### FINANCIAL MANAGEMENT AND SYSTEM OF INTERNAL CONTROLS QUESTIONNAIRE

The financial management system of each non-Federal entity must provide for the following

- · Retention requirements for records
- · Requests for transfer of records
- · Methods for collection, transmission and storage of information
- · Access to records
- · Restrictions on public access to records
- (1) Identification, in its accounts, of all Federal awards received and expended and the Federal programs under which they were received. Federal program and Federal award identification must include, as applicable, the CFDA title and number, Federal award identification number and year, name of the Federal agency, and name of the pass-through entity, if any.
- (2) Accurate, current, and complete disclosure of the financial results of each Federal award or program.
- (3) Records that identify adequately the source and application of funds for federally-funded activities. These records must contain information pertaining to Federal awards, authorizations, obligations, unobligated balances, assets, expenditures, income and interest and be supported by source documentation.
- (4) Effective control over, and accountability for, all funds, property, and other assets. The non-Federal entity must adequately safeguard all assets and assure that they are used solely for authorized purposes.
- (5) Comparison of expenditures with budget amounts for each Federal award.
- (6) Written procedures to document the receipt and disbursement of Federal funds including procedures to minimize the time elapsing between the transfer of funds from the United States Treasury or the pass-through entity and the disbursement by the non-Federal entity whether the payment is made by electronic funds transfer, or issuance or redemption of checks, warrants, or payment by other means.
- (7) Written procedures for determining the allowability of costs.

APPLICANT ORGANIZATIONAL INFORMATION			
1. Name of Organization and Address:			
Organization Name: Bureau of Statistics and Plans			
Street1: 513 W Marine Corp Dr.			
Street2:			
City: Hagatna			
State: GU: Guam			
Zip Code: 96910			
2. Authorized Representative's Name and Title:			
Prefix: First Name: Middle Name:			
Manuel Q.			
Last Name: Suffix:			
Cruz			
Title:			
Deputy Director			
3. Phone: (671) 472-4201 4. Fax: (671)477-1812			
5. Email: manny.cruz@bsp.guam.gov			
6. Year Established: 7. Employer Identification Number (EIN): 8. DUNS Number:			
1975 7789042920000			
9. Type of Organization:    X   State			



## U.S. DEPARTMENT OF JUSTICE OFFICE OF JUSTICE PROGRAMS

OMB Number: 1121-0329 Expiration Date: 12/31/2018

AUDIT INFORMATION				
An audit is conducted using generally accepted auditing standards (GAAS) of Auditing Standards (GAGAS) and results in an audit report with an opinion.	r Generally Accepted Governmental			
10. The organization has undergone the following types of audit(s)(Please ch	neck all that apply):			
☑ OMB A-133 Single Audit				
Financial Statement Audit				
Defense Contract Agency Audit (DCAA)				
None				
Programmatic Audit & Agency:				
Other Audit & Agency:				
11. Most Recent Audit: Within the past 12 months Within the	past two years  More than two years			
Name of Audit Agency/Firm: DELOITTE & TOUCHE, LLP				
3220 12 d 1000.12, 22.				
AUDITOR'S OPINION:				
12. On the most recent audit, what was the auditor's opinion?				
	Concern or Adverse Opinions			
	oncern of Adverse Opinions			
Please enter the number of findings:				
Please enter the amount of questioned costs: \$348.00				
Were material weaknesses noted in either the Financial Statement or Single	Audit? Yes X No			
ACCOUNTING SYSTEM				
13. Which of the following best describes your accounting system:				
■ Manual ■ Automated ■ Combination				
14. Does the accounting system identify the receipt and expenditure of program funds separately for each grant?	✓ Yes			
15. Does the accounting system provide for the recording of expenditures for each grant/contract by budget cost categories shown in the approved budget?				
16. Does your accounting system have the capability to document the recording of cost sharing or match for each grant? Can you determine if documentation is available to support recorded match or cost share?				
17. Are time distribution records maintained for each employee that specifically identify effort charged to a particular grant or cost objective?				
18. Does the accounting/financial system include budgetary controls to preclude incurring obligations or costs in excess of total funds available or by budget cost category (e.g. Personnel, Travel, etc.)?	X Yes			
19. Is the organization familiar with the existing Federal regulation and guidelines containing the Cost Principles and procedures for the determination and allowance of costs in connection with Federal grants?	X Yes ☐ No ☐ Not Sure			



## U.S. DEPARTMENT OF JUSTICE OFFICE OF JUSTICE PROGRAMS

OMB Number: 1121-0329 Expiration Date: 12/31/2018

PROPERTY STANDARDS, PROCUREMENT STANDARD	S, AND TRAVEL POLICIES
PROPERTY STANDARDS	
20. Does your property management system(s) provide for maintaining: (1) a description of the equipment; (2) an identification number; (3) source of the property, including the award number; (4) where title vests; (5) acquisition date; (6) federal share of property cost; (7) location and condition of the property; (8) acquisition cost; & (9) ultimate disposition information?	X Yes
PROCUREMENT STANDARDS	
21. Does your organization maintain written procurement procedures which (1) avoid unnecessary purchases; (2) provide an analysis of lease and purchase alternatives; and (3) provide a process for soliciting goods and services?	X Yes
22. Does your procurement system provide for the conduct to determine selection on a competitive basis and documentation of cost or price analysis for each procurement action?	X Yes No Not Sure
23. Does your procurement system include provisions for checking the "Excluded Parties List" system for suspended or debarred sub-grantees and contractors, prior to award? Please visit www.sam.gov.	
TRAVEL POLICY	
24. Does your organization:  (a) maintain a standard travel policy?  X Yes N	
(a) maintain a standard travel policy?  (b) adhere to the Federal Travel Regulation? (FTR)  Yes  N	
SUBRECIPIENT MANAGEMENT AND MONITORING	
25. (For Pass-through entities only). Does your organization have controls in place to monitor activities of subrecipients, as necessary, to determine that Federal awards are used for authorized purposes in compliance with laws, regulations, and the provisions of the award and that performance goals are achieved (2 CFR200)?	
STANDARDS FOR FINANCIAL MANAGEMENT SYSTEMS AN	ID APPLICANT CERTIFICATION
I certify that the above information is complete and correct to the best of my k the organization's Authorized Representative, Executive Director, Chief Finance similar position.	nowledge. This document must be certified by cial Officer, Chairman of the Board of Directors,
ARMILYNN R. LUJAN	Date: 2017-03-08
Title: Executive Director Chief Financial Officer  Souther GAS, FEDERAL BRANCH	Chairman
Phone: (671) 638-3823	

## Attachment 5

## Disclosure of High Risk Status

The Guam Bureau of Statistics and Plans, Government of Guam, is currently not designated as high risk by another federal grant making agency.

#### FY 2017 Residential Substance Abuse Treatment (RSAT) for State Prisoners Program

Certification as to Applicant Disclosure of Pending Applications

Guam Bureau of Statistics and Plans does not have pending applications submitted within the last 12 months for federally funded assistance that include requests for funding to support the same project being proposed in this application to OJP and that would cover any identical cost items outlined in the budget submitted as part of this application.

I have authority to make this certification on behalf of the applicant agency (that is, the agency applying directly to OJP).

## CERTIFICATION DISCLOSURE OF PENDING APPLICATIONS

Federal and State Funding Agency	Solicitation Name/Project Name	Name/Phone/E-mail for Point of Contact at Funding Agency
N/A	N/A	N/A

Signature of Certifying Official

man

MANUEL Q. CRUZ
Printed Name of Certifying Official

DEPUTY DIRECTOR, BUREAU OF STATISTICS AND PLANS
Title of Certifying Official

GUAM BUREAU OF STATISTICS AND PLANS

Name of Recipient Applicant Agency (Including Name of State)

JUN 3 0 2017

Date

### Attachment 7

## Research and Evaluation Independence and Integrity

The Guam Bureau of Statistics and Plans, Government of Guam, does not propose research or evaluation in the FY 2017 RSAT Grant Program application.



Eddie Baza Calvo Governor of Guam

Ray Tenorio
Lieutenant Governor

Government of Guam P.O. Box 2950 Hagåtña, Guam 96932 Tel: (671) 472-4201/3 Fax: (671) 477-1812



JUN 3 0 2017

Ms. LaShawn Benton
State Policy Advisor
Bureau of Justice Assistance
Office of Justice Programs
U.S. Department of Justice
810 7th Street, NW
Washington, DC 20531

RE: Waiver of Match Requirement Request for the FY 2017 Residential Substance Abuse Treatment for State Prisoners Grant Programs (2017-H1491-GU-RT)

Dear Ms. Benton:

The Bureau of Statistics and Plans, State Administrative Agency (SAA), is requesting a waiver of match requirement for Guam's FY 2017 Residential Substance Abuse Treatment (RST) for State Prisoners Grant Program pursuant to 48 U.S.C. §1469a. The waiver provisions state that, "any department or agency shall waive any requirement for local matching funds under \$200,000 (including in-kind contributions) required by law".

I want to take this opportunity to thank you in advance for your kind and favorable consideration of this request. Should you require additional information, please do not hesitate contact myself or Ms. Millie Erguiza at 671-472-4201/2/3.

Sincerely,

MANUEL O. CRUZ Acting Director

**Enclosure** 

### Territories are allowed to request a match waiver under 48 U.S.C. §1469a.

48 U.S.C.
United States Code, 2009 Edition
Title 48 - TERRITORIES AND INSULAR POSSESSIONS
CHAPTER 10 - TERRITORIAL PROVISIONS OF A GENERAL NATURE
Sec. 1469a - Congressional declaration of policy respecting "Insular Areas"
From the U.S. Government Printing Office, <a href="https://www.gpo.gov">www.gpo.gov</a>

§1469a. Congressional declaration of policy respecting "Insular Areas"

In order to minimize the burden caused by existing application and reporting procedures for certain grant-in-aid programs available to the Virgin Islands, Guam, American Samoa, the Trust Territory of the Pacific Islands, and the Government of the Northern Mariana Islands (hereafter referred to as "Insular Areas") it is declared to be the policy of the Congress, notwithstanding any provision of law to the contrary, that:

- (a) Any department or agency of the Government of the United States which administers any Act of Congress which specifically provides for making grants to any Insular Area under which payments received may be used by such Insular Area only for certain specified purposes (other than direct payments to classes of individuals) may, acting through appropriate administrative authorities of such department or agency, consolidate any or all grants made to such area for any fiscal year or years.
- (b) Any consolidated grant for any insular area shall not be less than the sum of all grants which such area would otherwise be entitled to receive for such year.
- (c) The funds received under a consolidated grant shall be expended in furtherance of the programs and purposes authorized for any of the grants which are being consolidated, which are authorized under any of the Acts administered by the department or agency making the grant, and which would be applicable to grants for such programs and purposes in the absence of the consolidation, but the Insular Areas shall determine the proportion of the funds granted which shall be allocated to such programs and purposes.
- (d) Each department or agency making grants-in-aid shall, by regulations published in the Federal Register, provide the method by which any Insular Area may submit (i) a single application for a consolidated grant for any fiscal year period, but not more than one such application for a consolidated grant shall be required by any department or agency unless notice of such requirement is transmitted to the appropriate committees of the United States Congress together with a complete explanation of the necessity for requiring such additional applications and (ii) a single report to such department or agency with respect to each such consolidated grant: *Provided*, That nothing in this paragraph shall preclude such department or agency from providing adequate procedures for accounting, auditing, evaluating, and reviewing any programs or activities receiving benefits from any consolidated grant. The administering authority of any department or agency, in its discretion, may (i) waive any requirement for matching funds otherwise required by law to be provided

by the Insular Area involved and (ii) waive the requirement that any Insular Area submit an application or report in writing with respect to any consolidated grant. (Pub. L. 95–134, title V, §501, Oct. 15, 1977, 91 Stat. 1164; Pub. L. 95–348, §9, Aug. 18, 1978, 92 Stat. 495.)

AMENDMENT OF SUBSECTION (D)

Pub. L. 96–205, title VI, §601, Mar. 12, 1980, 94 Stat. 90, as amended Pub. L. 98–213, §6, Dec. 8, 1983, 97 Stat. 1460; Pub. L. 98–454, title VI, §601(b), Oct. 5, 1984, 98 Stat. 1736, provided that this section shall be applied with respect to the Department of the Interior by substituting "shall" for "may" in the last sentence of subsection (d), and adding the following sentence at the end of subsection (d): "Notwithstanding any other provision of law, in the case of American Samoa, Guam, the Virgin Islands, and the Northern Mariana Islands any department or agency shall waive any requirement for local matching funds under \$200,000 (including in-kind contributions) required by law to be provided by American Samoa, Guam, the Virgin Islands, or the Northern Mariana Islands."

1978—Pub. L. 95–348, §9(1), in introductory provision inserted ", notwithstanding any provision of law to the contrary," after "Congress".

Subsec. (a). Pub. L. 95–348, §9(2), substituted "Any" for "Notwithstanding any provision of law to the contrary, any".

**TERMINATION OF TRUST TERRITORY OF THE PACIFIC ISLANDS** 

For termination of Trust Territory of the Pacific Islands, see note set out preceding section 1681 of this title.

MAINTENANCE OR LEVEL OF EFFORT REQUIREMENTS; ADJUSTMENT OR MODIFICATION BY ADMINISTRATOR OF ENVIRONMENTAL PROTECTION AGENCY

Pub. L. 99–396, §12(a), Aug. 27, 1986, 100 Stat. 841, provided that: "In awarding assistance grants, consolidated under the provisions of title V of the Act entitled 'An Act to authorize certain appropriations for the territories of the United States, to amend certain Acts related thereto, and for other purposes' (91 Stat. 1159, as amended) [42 U.S.C. 4368b; 48 U.S.C. 1469a], to the Trust Territory of the Pacific Islands, American Samoa, Guam, the Northern Mariana Islands or the Virgin Islands, the Administrator of the Environmental Protection Agency may, in his discretion, adjust or otherwise modify maintenance or level of effort requirements."

### DISCLOSURE OF LOBBYING ACTIVITIES

Approved by OMB 0348-0046

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure.) 1. Type of Federal Action: 2. Status of Federal Action: 3. Report Type: a. contract a. bid/offer/application a. initial filing b. material change b. grant b. initial award c. cooperative agreement c. post-award For Material Change Only: d. loan year \_\_\_\_\_ quarter \_ e. loan guarantee date of last report f. loan insurance 4. Name and Address of Reporting Entity: 5. If Reporting Entity in No. 4 is a Subawardee, Enter Name Prime Subawardee and Address of Prime: Tier , if known: Congressional District, if known: Congressional District, if known: 6. Federal Department/Agency: 7. Federal Program Name/Description: CFDA Number, if applicable: \_ 8. Federal Action Number, if known: 9. Award Amount, if known: 10. a. Name and Address of Lobbying Registrant b. Individuals Performing Services (including address if (if individual, last name, first name, MI): different from No. 10a) N/A (last name, first name, MI): N/A Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made Signature: MANUEL Q. CRUZ Print Name: MANUEL Q. CRUZ or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This Information will be reported to the Congress semi-annually and will be available for Title: Deputy Director, Bureau of Statistics and Plans public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less that \$10,000 and not more than \$100,000 for Telephone No.: (671) 472-4201 each such failure Date: Authorized for Local Reproduction Federal Use Only: Standard Form LLL (Rev. 7-97)

#### INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

- 1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
- 2. Identify the status of the covered Federal action.
- Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter
  the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal
  action.
- 4. Enter the full name, address, city, State and zip code of the reporting entity, Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient, Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
- If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
- Enter the name of the Federal agency making the award or loan commitment, include at least one organizationallevel below agency name, if known, For example, Department of Transportation, United States Coast Guard.
- Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
- Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
- For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
- 10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.
  - (b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
- 11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.